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PTO/SB/21 (08-00)

Approved for use through 10/31/2002 OMB 0651-0031

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# TRANSMITTAL FORM

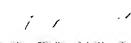
(to be used for all correspondence after initial filing)

		Application Number	09/658,158
		Filing Date	September 8, 2000
		First Named Inventor	Samuel P. Weaver
		Group Art Unit	2633
		Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	16	Attorney Docket Number	10030-0005001S

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below)	
		1. Declaration and Power of Attorney 2. Request for Corrected Filing Receipt (copy of original filing receipt) 3. Return Postcard	
		Remarks	

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Patrick M. Boucher Townsend and Townsend and Crew LLP
Signature	
Date	January 2, 2001

## CERTIFICATE OF MAILING

I declare under penalty of perjury that correspondence is being deposited with the United States Postal Service as first class mail in an envelope

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# **FEE TRANSMITTAL**

## **for FY 2001**

*Patent fees are subject to annual revision.*

TOTAL AMOUNT OF PAYMENT : (\$ ) 954

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)					
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to				<b>3. ADDITIONAL FEES</b>					
1.	Deposit Account Number			Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description		Fee Paid
	20-1430			105	150	25	Surcharge - late filing fee or oath		
	Deposit Account Name			127	50	25	Surcharge - late provisional filing fee or cover sheet		
	Townsend and Townsend and Crew LLP			139	150	139	Non-English specification		
<input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27				147	2,520	147	For filing a request for reexamination		
<input type="checkbox"/> Payment Enclosed <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other				112	920*	112	Requesting publication of SIR prior to Examiner action		
				113	1,840*	113	Requesting publication of SIR after Examiner action		
				115	110	215	Extension for reply within first month		
				116	360	216	Extension for reply within second month		
				117	850	217	Extension for reply within third month		
				118	1,290	218	Extension for reply within fourth month		
				128	1,890	228	Extension for reply within fifth month		
				119	310	219	Notice of Appeal		
				120	310	220	Filing a brief in support of an appeal		
				121	270	221	Request for oral hearing		
				138	1,510	138	Petition to institute a public use proceeding		
				140	110	240	Petition to revive – unavoidable		
				141	1,240	241	Petition to revive – unintentional		
				142	1,240	242	Utility issue fee (or reissue)		
				143	440	243	Design issue fee		
				144	600	244	Plant issue fee		
				122	130	122	Petitions to the Commissioner		
				123	130	123	Petitions related to provisional applications		
				124	14	14	Submission of Information Disclosure Stmt		
				125	4	4	Recording each patent assignment per property (time + number of properties)		4
				126	11	11	Filing a submission after final rejection (37 CFR § 1.129(c))		
				148	11	14	For each additional invention to be examined (37 CFR § 1.129(b))		
				149	111	279	Request for Continued Examination (RCE)		
				150	41	142	Request for expedited examination (37 CFR 1.127)		
				151	11	11	Filing a submission after final rejection (37 CFR § 1.129(c))		
				152	11	11	For each additional invention to be examined (37 CFR § 1.129(b))		
				153	111	279	Request for Continued Examination (RCE)		
				154	41	142	Request for expedited examination (37 CFR 1.127)		

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to

**PATENT**  
Attorney Docket No.: 19930-000500US

Assistant Commissioner for Patents  
Attn: Box Missing Parts  
Washington, D.C. 20231

On November 2, 2000

TOWNSEND and TOWNSEND and CREW LLP

By Nina E. McNeill

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Samuel P. Weaver, et al.

Application No.: 09/658,158

Filed: September 8, 2000

For: LINEAR OPTICAL BEAM  
TRANSLATOR FOR OPTICAL  
ROUTING

Examiner: Not Yet Assigned

Art Unit: 2633

**TRANSMITTAL LETTER –  
RESPONSE TO NOTICE OF MISSING  
PARTS**

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to the Notice to File Missing Parts of Non-Provisional Application dated November 2, 2000, enclosed are the following to be made of record in the above-identified application:

- 1) Executed Declaration and Power of Attorney  
*See attached Declaration of Filing Receipt*

Small Entity: (a) Filing Fee (\$ 1.10(a)) (Small Entity) \$355.00

(b) Excess Claims Fees (§ 1.16(b), (c)):

66 - 20 = 46                    x \$9.00 =                    \$414.00

5 - 3 = 2                    x \$40.00 =                    \$80.00

(c) Missing Parts Surcharge                    \$65.00

**TOTAL FEES TO BE CHARGED**                    **\$914.00**

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 20-1430. This Transmittal Letter is submitted in triplicate.

Respectfully submitted,

*Patrick M. Boucher*  
Patrick M. Boucher  
Reg. No. 44,037

**Customer No. 20350**

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 303-571-4000  
Fax: 415 576-0300  
PMB:nlm

DE 7030233 v1

JAN 8 4

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents Washington, D.C. 20231 on 1/21/2001

By Nina L. McNeill  
Nina L. McNeill

PATENT  
Attorney Docket No.: 19930-000500US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Examiner: Not Yet Assigned

Weaver, et al.

Art Unit: 2633

Application No. 09/658,158

**REQUEST FOR CORRECTED FILING RECEIPT**

Filed: September 8, 2000

For: **LINEAR OPTICAL BEAM  
TRANSLATOR FOR OPTICAL ROUTING**

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Sir:

Attached is a copy of the official Filing Receipt received from the Patent and Trademark Office in the above-noted application for which issuance of a corrected filing receipt is respectfully requested.

There are errors in that the addresses of Inventors #1 and 2 have changed to the following:

Samuel P. Weaver, 735 South 43<sup>rd</sup> Street, Boulder, CO 80305; and

Robert T. Weverka, 735 South 43<sup>rd</sup> Street, Boulder, CO 80305.

Please charge any required fees or credit overpayment to Deposit Account No. 20-1430. This Petition is submitted in duplicate.

Respectfully submitted,

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, California 94111-3834  
Tel: (303) 571-4000  
Fax: (303) 571-4321  
PMB/nlm

DE 7030229 v1

JAN 3 2000



## UNITED STATES PATENT AND TRADEMARK OFFICE

019930-000500US  
P M BoucherCOMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
Washington, D.C. 20591-0000  
www.uspto.gov

APPLICATION NUMBER	FLING RECEIPT DATE	FIRST NAME OF APPLICANT	ATTORNEY OR AGENT NUMBER
09/658,158	09/08/2000	Samuel P. Weaver	19930-000500US

Patrick M Boucher  
 Townsend and Townsend and Crew LLP  
 8th Floor  
 Two Embarcadero Center  
 San Francisco, CA 94111-3834

## FORMALITIES LETTER



\*0C000000005526000\*

Date Mailed: 11/02/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$984.
  - \$828 for 46 total claims over 20.
  - \$156 for 2 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1804.**

*REPLY DUE WITHIN TWO MONTHS*

Customer Service Center  
 Central Patent Examination Division (703) 308-1202  
 Customer service hours are 8:00 a.m. to 4:00 p.m. EST, Monday through Friday, EXCLUDING HOLIDAYS. REPLY DUE WITHIN TWO MONTHS



## UNITED STATES PATENT AND TRADEMARK OFFICE

JAN 8 2000  
019930-000500US

PMBoucher  
 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20540  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/658,158	09/08/2000	2633	0	19930-000500US	8	66	5

## FILING RECEIPT

Patrick M Boucher  
 Townsend and Townsend and Crew LLP  
 8th Floor  
 Two Embarcadero Center  
 San Francisco, CA 94111-3834



OC000000005525999

Date Mailed: 11/02/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Samuel P. Weaver, Boulder, CO ;  
 Robert T. Weverka, San Mateo, CA ;  
 Richard S. Roth, Boulder, CO ;

## Continuing Data as Claimed by Applicant

## Foreign Applications

## Title

Linear optical beam translator for optical routing

 REC'D  
NOV 6 2000  
PTO  
RPT  
RPT  
RPT

## Preliminary Class

Attorney docket number: 100000000000

Team: 1000

Date: 11/02/2000

